

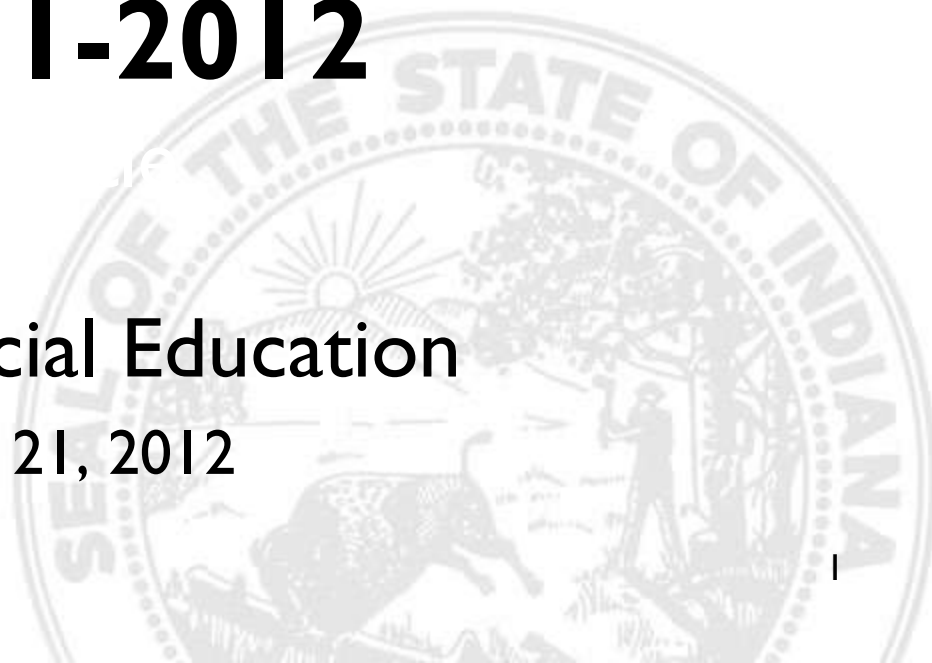


Indiana Department of Education
SUPPORTING STUDENT SUCCESS

Compliance/Performance Monitoring Guidance SY 2011-2012

Office of Special Education

February 21, 2012



Timeline

December 2011

- Indicators 9, 10, 11 and 12 data collected

February 2012

- Indicator 4 data collected

April 2012

- Procedural Audit information due to the IDOE
- Fiscal Audit (2010-11 SY) results issued

May 2012

- Indicators 4, 9 and 10 data verification process begins
- LRE desk audit information due to the IDOE

June/July/August 2012

- Indicator 13 IEPs collected for review
- Procedural Audit results issued
- LRE Desk Audit results issued
- Fiscal Audit participants determined



September 2012

- Indicators 11 and 12 data verification process begins
- Vendor contacts Fiscal Audit participants

October 2012

- Indicator 13 data verification process begins

November 2012

- Indicators 4, 9, 10, 11, 12, 13 and 20 findings issued

January 2012

- LEAs are responsible for submitting Corrective Action Plans to the IDOE for each finding received

April 2013

- Fiscal Audit results issued



Fiscal Audit

Documentation: Final Reports, General Ledger, Time and Effort Reports, MOE

Participants Chosen: August 2012

Vendor Contacts LEAs: Fall 2012

Findings: Issued Spring 2013

Any follow-up required by LEA will be described in the findings report.



Fiscal Audit Guidance

School corporations are required to submit the following documents:

- Report of Expenditures (Part B and Preschool)
- General Ledger Detail (Part B and Preschool)
- Report of June 30, 2011 Expenditures compared to Prior Year
- Calculation for Maintenance of Effort Requirement for June 2011 and June 2010
- Narrative Describing the Expenditures Cycle
- Calculation for the Provision of Equitable Services to Children with Disabilities in Nonpublic Schools
- Evidence that “Split-Funded” Personnel Maintain Program Activity Reports
- Inventory Listing Containing Required EDGAR Components



Fiscal Audit Guidance [HEA 1341](#)

In regard to each LEA's amount of state special education grant funds generated by and expended on services for parentally-placed nonpublic school students, the following forms must be produced when an LEA is selected for participation in a Fiscal Audit:

- Printout from DOE-SE showing number of claimed nonpublic school students for the LEA.
- Narrative explaining how APC was calculated as well as the APC calculation.
- Worksheet showing the amount of money generated by students enrolled in nonpublic institutions.
- Time and Effort Logs (PARs or Semi-Annual Certification) for all LEA staff members serving students enrolled in nonpublic schools.



LRE Desk Audit

Documentation: LRE Questionnaire

Collected: May 2012

Reviewed: June 2012

Results*: Issued July 2012

**LEAs may be chosen to participate in an LRE Onsite Monitoring Visit based on the results of the LRE Desk Audit.*



Indiana Department of Education
SUPPORTING STUDENT SUCCESS

LRE Desk Audit* Guidance

School corporations are required to submit the following documents:

- Staff development the corporation has attended or provided involving (LRE)
- The corporation's policies and procedures as it relates to Special Education
- Additional documents providing more information to staff regarding the corporation's special education programs and its focus on LRE
- Review of corporation complaints as it pertains to LRE
- Service delivery model for special education students

The documents will be reviewed and scored on a rubric and each corporation will receive a rating of one of the following categories: Meets Requirements, Needs Minimal Assistance, and Needs Improvement.

****LEAs chosen to participate in an onsite visit as a result of the LRE Desk Audit will be notified 30 days prior to their visit.***



Procedural Audit

Documentation: Procedures and practices information

Collected: April 2012

Reviewed: June 2012

Findings: Issued in July 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.



Procedural Audit Guidance

Desk audit monitoring enables the IDOE to assess compliance with federal and state requirements in addition to assessing whether or not an LEA has adequate and appropriate procedures and practices in place to manage these requirements.

Examples of items reviewed during a Desk audit may include, but are not limited to the following:

- Completion of corrective activities through Compliance Indicator Monitoring and/or Hearing Officer and Complaint Investigator decisions
- Documentation of meaningful consultation with Non-Public Schools
- Tracking of students who receive Comprehensive Early Intervening Services (CEIS) and the use of funds designated for CEIS
- Compliance with National Instructional Materials Accessibility Standard (NIMAS)
- Protocol to ensure accessibility of District-wide Assessments
- Review of documentation to ensure the school corporation publicly reported on any revision of policies, procedures and practices that were made to address significant disproportionality.
- Anticipated Equipment Inventory Update purchases with Part B funds
- Time and Effort Reporting
- Review of Internal practices used to carry out federal and state policies and procedures



Procedural Audit Guidance [HEA 1341](#)

In regard to each LEA's amount of state special education grant funds generated by and expended on services for parentally-placed nonpublic school students, the following forms must be submitted to the IDOE when an LEA is selected for participation in a Procedural Audit:

- Printout from DOE-SE showing the number of claimed nonpublic school students for the LEA.
- Worksheet showing the amount of money generated by parentally-placed nonpublic school students.
- Time and Effort Logs (PARs or Semi-Annual Certification) for all LEA staff members serving students enrolled in nonpublic schools.



Indicator 4: Suspension/Expulsion

Data: Expulsion and Suspension Report ([DOE-ES](#))

Collected: February 1, 2012 through August 1, 2012

Verification*: May 2012

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.

**Only occurs if the SEA deems verification necessary.*



Indiana Department of Education
SUPPORTING STUDENT SUCCESS

Indicator 4

- **Rates of suspension and expulsion:**
 - A. Percent of districts identified by the State as having a significant discrepancy in the rates of suspensions and expulsions of children with disabilities for greater than 10 days in a school year; and
 - B. Percent of districts identified by the State as having a significant discrepancy in the rates of suspensions and expulsions of greater than 10 days in a school year of children with disabilities by race and ethnicity.



Indicator 4A Calculation

Measurement:

Percent = $\left[\left(\frac{\# \text{ of districts that have a significant discrepancy in the rates of suspensions and expulsions for greater than 10 days in a school year of children with IEPs}}{\# \text{ of districts in the State}} \right) \times 100 \right]$.



Indicator 4A Definition

Indiana defines significant discrepancy in the rates of suspensions and expulsions greater than 10 days of students with disabilities as an incidence rate that is **two times or higher** than the state incidence rate for two consecutive years. Sample size (“N”) is set at a minimum of **10** students in a given populations.



Indicator 4B Calculation

Measurement:

Percent = $\left[\left(\# \text{ of districts that have: (a) a significant discrepancy, by race or ethnicity, in the rates of suspensions and expulsions of greater than 10 days in a school year of children with IEPs; and (b) policies, procedures or practices that contribute to the significant discrepancy and do not comply with requirements relating to the development and implementation of IEPs, the use of positive behavioral interventions and supports, and procedural safeguards} \right) \div \left(\# \text{ of districts in the State} \right) \right] \times 100.$



Indicator 4B Definition

Indiana defines significant discrepancy of racial and ethnic groups (*American Indian, Asian/Pacific Islander, African American, Hispanic, White*) in discipline (suspensions/expulsions) as a risk ratio for a given racial/ethnic group that is **greater than 2.0** for two consecutive years. Sample size (“N”) is set at a minimum of **10** students in a given population.



Indicator 4 Verification Process

1. IDOE will review the DOE-ES submission for each LEA.
2. IDOE will identify and issue preliminary notification to LEAs of potential noncompliance whose data indicates significant discrepancies.
3. LEAs who are in disagreement with the data analysis will be given a two week window to send the IDOE documentation supporting their requested changes to the data*. Guidelines of appropriate documentation will be given to LEAs by the IDOE.
4. IDOE will review verification submissions and make changes if the documentation provided is appropriate.

****Changes made during verification do not automatically remove the possibility that the LEA will be issued a finding.***



Indicator 4 Findings Issuance

- LEAs with significant discrepancy are required to complete the *Self-Assessment Survey – Special Education Disproportionality and Disciplinary Discrepancies*.
- LEAs whose Self Assessment and supporting documentation indicates the significant discrepancy may be due to inappropriate policies, procedures and practices will undergo a student file review based on a random sample of students that were suspended for more than 10 days.
- LEAs whose significant discrepancy is due to inappropriate policies, procedures and practices will be issued findings of noncompliance.



Indicator 4 Appeals Process

1. LEAs will be given a two week window to submit appeals to the IDOE after findings are issued. Appeals must contain documentation proving that compliance existed*.
2. IDOE staff will review appeal submissions and rescind findings if appropriate.

****The IDOE will consider appeals regarding findings only if the LEA can demonstrate that the SEA issued a finding when compliance existed.***



Indicator 9: Disproportionate Representation

Data: Disproportionate Representation Report
([DOE-SE](#))

Collected: December 1, 2011 through December 13, 2011

Verification*: May 2012

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.

**Only occurs if the SEA deems verification necessary.*



Indiana Department of Education
SUPPORTING STUDENT SUCCESS

Indicator 9

- **Disproportionate Representation:**

Percent of districts with disproportionate representation of racial and ethnic groups in special education and related services that is the result of inappropriate identification.



Indicator 9 Definition

Indiana defines *disproportionate representation* (or *disproportionality*) of racial and ethnic groups in special education and related services as a risk ratio greater than 2.0 or a risk ratio less than 0.5 in special education and related services for two consecutive years. Sample size (“N”) is set at a minimum of **30** students in a given population.



Indicator 9 Verification Process

1. IDOE will review the DOE-SE submission for each LEA.
2. IDOE will identify and issue preliminary notification to LEAs of potential noncompliance whose data indicates significant discrepancies.
3. LEAs who are in disagreement with the data analysis will be given a two week window to send the IDOE documentation supporting their requested changes to the data*. Guidelines of appropriate documentation will be given to LEAs by the IDOE.
4. IDOE will review verification submissions and make changes if the documentation provided is appropriate.

****Changes made during verification do not automatically remove the possibility that the LEA will be issued a finding.***



Indicator 9 Findings Issuance

- LEAs with significant discrepancy are required to complete the *Self-Assessment Survey – Special Education Disproportionality and Disciplinary Discrepancies*.
- LEAs whose Self Assessment and supporting documentation indicates the significant discrepancy may be due to inappropriate policies, procedures and practices will undergo a student file review based on a random sample of students that were suspended for more than 10 days.
- LEAs whose significant discrepancy is due to inappropriate policies, procedures and practices will be issued findings of noncompliance.



Indicator 9 Appeals Process

1. LEAs will be given a two week window to submit appeals to the IDOE after findings are issued. Appeals must contain documentation proving that compliance existed*.
2. IDOE staff will review appeal submissions and rescind findings if appropriate.

****The IDOE will consider appeals regarding findings only if the LEA can demonstrate that the SEA issued a finding when compliance existed.***



Indicator 10: Disproportionate Representation

Data: Disproportionate Representation Report
([DOE-SE](#))

Collected: December 1, 2011 through December 13, 2011

Verification*: May 2012

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.

**Only occurs if the SEA deems verification necessary.*



Indiana Department of Education
SUPPORTING STUDENT SUCCESS

Indicator 10

- **Disproportionate Representation:**

Percent of districts with disproportionate representation of racial and ethnic groups in specific disability categories that is the result of inappropriate identification.



Indicator 10 Calculation

Measurement:

Percent = $\left[\left(\frac{\text{\# of districts with disproportionate representation of racial and ethnic groups in specific disability categories that is the result of inappropriate identification}}{\text{\# of districts in the State}} \right) \times 100 \right]$.



Indicator 10 Definition

Indiana defines *disproportionate representation* (or *disproportionality*) of racial and ethnic groups in specific disability categories as a risk ratio greater than 2.0 or a risk ratio less than 0.5 in special education and related services for two consecutive years. Sample size (“N”) is set at a minimum of **30** students in a given population.



Indicator 10 Verification Process

1. IDOE will review the DOE-SE submission for each LEA.
2. IDOE will identify and issue preliminary notification to LEAs of potential noncompliance whose data indicates significant discrepancies.
3. LEAs who are in disagreement with the data analysis will be given a two week window to send the IDOE documentation supporting their requested changes to the data*. Guidelines of appropriate documentation will be given to LEAs by the IDOE.
4. IDOE will review verification submissions and make changes if the documentation provided is appropriate.

****Changes made during verification do not automatically remove the possibility that the LEA will be issued a finding.***



Indicator 10 Findings Issuance

- LEAs with disproportionate representation are required to complete the *Self-Assessment Survey – Special Education Disproportionality and Disciplinary Discrepancies*.
- LEAs whose Self Assessment and supporting documentation indicates the disproportionate representation may be due to inappropriate policies procedures and practices will undergo a student file review based on a random sample of students that were suspended for more than 10 days.
- LEAs whose disproportionate representation is due to inappropriate policies, procedures and practices will be issued findings of noncompliance.



Indicator 10 Appeals Process

1. LEAs will be given a two week window to submit appeals to the IDOE after findings are issued. Appeals must contain documentation proving that compliance existed*.
2. IDOE staff will review appeal submissions and rescind findings if appropriate.

****The IDOE will consider appeals regarding findings only if the LEA can demonstrate that the SEA issued a finding when compliance existed.***



Indicator 11: Child Find

Data: Evaluation Report (DOE-EV)

Collected: December 1, 2011 through July 1, 2012

Verification*: September 2012

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.

**Only occurs if the SEA deems verification necessary.*



Indicator I I

- **Child Find:**

Percent of children with parental consent to evaluate, who were evaluated within the appropriate timeline of 50 days or 20 days in accordance with [511 7-40-5](#).



Indicator 11 Calculation

Measurement:

a. # of children for whom parental consent to evaluate was received.

b. # of children whose evaluations were completed within 50 days.

Account for children included in a. but not included in b.

Indicate the range of days beyond the timeline when the evaluation was completed and any reasons for the delays.

Percent = $[(b) \div (a)] \times 100$.



Indicator 11 Verification Process

1. IDOE staff will review the DOE-EV submission for each LEA.
2. IDOE staff will identify potential noncompliant data.
3. Potential noncompliant data will then be given to applicable LEAs.
4. LEAs will be given a two week window to send the IDOE documentation supporting their requested changes to the data*. Guidelines of appropriate documentation will be given to LEAs by the IDOE.
5. IDOE will review verification submissions and make changes if the documentation provided is appropriate.

****Changes made during verification do not automatically remove the possibility that the LEA will be issued a finding.***



Indicator 11 Findings Issuance

Once all data associated with Indicator 11 has been submitted, the IDOE will use the required measurement provided by the Office of Special Education Programs (OSEP) to determine each LEA's percentage. This percentage will be compared to the SEA's target percentage and the SEA will issue findings to LEAs that fail to meet the state target*.

****The SEA target for Indicator 11 is that 100% of all referrals are processed within the prescribed state timeline.***



Indicator 11 Appeals Process

1. LEAs will be given a two week window to submit appeals to the IDOE after findings are issued. Appeals must contain documentation proving that compliance existed*.
2. IDOE staff will review appeal submissions and rescind findings if appropriate.

****The IDOE will consider appeals regarding findings only if the LEA can demonstrate that the SEA issued a finding when compliance existed.***



Indicator 12: Early Childhood Transition

Data: Evaluation Report (DOE-EV)

Collected: December 1, 2011 through July 1, 2012

Verification:* September 2012

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.

**Only occurs if the SEA deems verification necessary.*



Indiana Department of Education
SUPPORTING STUDENT SUCCESS

Indicator 12

- **Early Childhood Transition:**

Percent of children referred by Part C prior to age 3, who are found eligible for Part B, and who have an IEP developed and implemented by their third birthdays.



Indicator 12 Calculation

Measurement:

- a. # of children who have been served in Part C and referred to Part B for eligibility determination.
- b. # of those referred determined to be NOT eligible and whose eligibilities were determined prior to their third birthdays.
- c. # of those found eligible who have an IEP developed and implemented by their third birthdays.
- d. # of children for whom parent refusal to provide consent caused delays in evaluation or initial services or to whom exceptions under 34 CFR §300.301(d) applied.
- e. # of children who were referred to Part C less than 90 days before their third birthdays.

Account for children included in a but not included in b, c, d, or e. Indicate the range of days beyond the third birthday when eligibility was determined and the IEP developed and the reasons for the delays.

Percent = $[(c) \div (a - b - d - e)] \times 100$.



Indicator 12 Verification Process

1. IDOE staff will review the DOE-EV submission for each LEA.
2. IDOE staff will identify potential noncompliant data.
3. Potential noncompliant data is then given to applicable LEAs.
4. LEAs will be given a two week window to send the IDOE documentation supporting their requested changes to the data*. Guidelines of appropriate documentation will be given to LEAs by the IDOE.
5. IDOE will review verification submissions and make changes if the documentation provided is appropriate.

****Changes made during verification do not automatically remove the possibility that the LEA will be issued a finding.***



Indicator 12 Findings Issuance

Once all data associated with Indicator 12 has been submitted, the IDOE will use the required measurement provided by the Office of Special Education Programs (OSEP) to determine each LEA's percentage. This percentage will be compared to the SEA's target percentage and the SEA will issue findings to LEAs that fail to meet the state target*.

****The SEA target for Indicator 12 is that 100% of children referred by Part C prior to age 3, who are found eligible for Part B and who have an IEP developed and implemented by their third birthdays.***



Indicator 12 Appeals Process

1. LEAs will be given a two week window to submit appeals to the IDOE after findings are issued. Appeals must contain documentation proving that compliance existed*.
2. IDOE staff will review appeal submissions and rescind findings if appropriate.

****The IDOE will consider appeals regarding findings only if the LEA can demonstrate that the SEA issued a finding when compliance existed.***



Indicator 13: Secondary Transition

Data: IEP Evaluation

Collected: Summer 2012

Verification:* October 2012

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.

**Only occurs if the SEA deems verification necessary.*



Indicator 13

- **Secondary Transition:**

Percent of youth aged 14 and above with an IEP that includes coordinated, measurable, annual IEP goals and transition services that will reasonably enable the student to meet the post-secondary goals.



Indicator 13 Calculation

Measurement:

Percent = $\left[\frac{\text{(\# of youth with IEPs aged 16 and above with an IEP that includes appropriate measurable postsecondary goals that are annually updated and based upon an age appropriate transition assessment, transition services, including courses of study, that will reasonably enable the student to meet those postsecondary goals, and annual IEP goals related to the student's transition services needs. There also must be evidence that the student was invited to the IEP Team meeting where transition services are to be discussed and evidence that, if appropriate, a representative of any participating agency was invited to the IEP Team meeting with the prior consent of the parent or student who has reached the age of majority)}}{\text{(\# of youth with an IEP age 16 and above)}} \right] \times 100.$



Indicator 13 Verification Process

1. IEPs will be initially reviewed by the Indiana Secondary Transition Resource Center. Those found noncompliant will be supplied to and reviewed by IDOE staff.
2. Potential noncompliant IEPs will then be given to applicable LEAs.
3. LEAs will be given a two week window to make appropriate corrections to noncompliant IEPs and return them to the IDOE for final review.
4. IDOE will review resubmitted IEPs and determine if all appropriate corrections were made*.

**Changes made during verification do not automatically remove the possibility that the LEA will be issued a finding.*



Indicator 13 Findings Issuance

Once all IEPs associated with Indicator 13 have been submitted, the IDOE will use the required measurement provided by the Office of Special Education Programs (OSEP) to determine each LEA's percentage. This percentage will be compared to the SEA's target percentage and the SEA will issue findings to LEAs that fail to meet the state target*.

****The SEA target for Indicator 13 is that 100% of IEPs for students with disabilities aged 14 and above include coordinated, measurable, annual IEP goals and transition services that will reasonably enable the student to meet the post-secondary goals.***



Indicator 13 Appeals Process

1. LEAs will be given a two week window to submit appeals to the IDOE after findings are issued. Appeals must contain documentation proving that compliance existed*.
2. IDOE staff will review appeal submissions and rescind findings if appropriate.

****The IDOE will consider appeals regarding findings only if the LEA can demonstrate that the SEA issued a finding when compliance existed.***



Indicator 15: Timely Correction of Noncompliance Finding

Data: Dependent upon noncompliance finding being verified (e.g. Indicator 4 finding verified with DOE-ES data)

Verification*: Correction of noncompliance finding within one year.
(One year timeline begins the date a specific finding was issued.)

Findings: Indicator 15 is considered in local determination scores and therefore no findings are issued. (link)

**Only occurs if the SEA deems verification necessary.*



Indicator 15

- **Timely Correction of Noncompliance Finding:**

General supervision system (including monitoring, complaints, hearings, etc.) identifies and corrects noncompliance as soon as possible but in no case later than one year from identification.



Indicator 15 Calculation

Measurement:

Percent of noncompliance corrected within one year of identification:

a. # of findings of noncompliance.

b. # of corrections completed as soon as possible but in no case later than one year from identification.

Percent = $[(b) \div (a)] \times 100$.



Indicator 20: Timely and Accurate Data

Data: Data/Reports submitted to the IDOE by the LEA specific to each Indicator.

Verification*: Matches the verification period of each specific Indicator (e.g. Indicator 11 verification is July 2012).

Findings: Issued in November 2012

Corrective Action Plan (CAP): Due to the IDOE approximately 60 days after findings are issued.



Indicator 20

- **Timely and Accurate Data:**

LEA reported data are timely and accurate.





Indiana Department of Education

SUPPORTING STUDENT SUCCESS

